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EXAMINER

PATEL, HARESH N

ART UNIT

PAPER NUMBER

2154

DATE MAILED: 10/20/2005

Please find below and/or attached an Office communication concerning this application or proceeding.

<b>Office Action Summary</b>	<b>Application No.</b>	<b>Applicant(s)</b>	
	09/556,068	ALLAVARPU ET AL.	
	<b>Examiner</b>	<b>Art Unit</b>	
	Haresh Patel	2154	

**-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --**  
**Period for Reply**

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

#### Status

- 1) ☒ Responsive to communication(s) filed on 14 July 2005.
- 2a) ☐ This action is **FINAL**.                      2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

#### Disposition of Claims

- 4) ☒ Claim(s) 1-63 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-63 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

#### Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☒ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☒ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

#### Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All    b) ☐ Some \* c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
  2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
- \* See the attached detailed Office action for a list of the certified copies not received.

#### Attachment(s)

- |  |   |
|--|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892)  | 4) <input type="checkbox"/> Interview Summary (PTO-413)<br>Paper No(s)/Mail Date. _____ |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948)                                   | 5) <input type="checkbox"/> Notice of Informal Patent Application (PTO-152)             |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)<br>Paper No(s)/Mail Date _____ | 6) <input type="checkbox"/> Other: _____  |

### DETAILED ACTION

1. Claims 1-63 are subject to examination.
2. Applicant's arguments presented in the appeal brief, dated 7/14/2005, regarding the claimed subject matter of, the latest claims, dated 7/14/2005 (section ix, claims appendix of the appeal brief) is persuasive and, therefore, the finality of office action, dated 2/10/2005, is withdrawn and the prosecution is hereby reopened. However, upon further consideration of the available prior arts, the claimed subject matter is rejected with the new grounds of rejection.

#### *Double Patenting*

The nonstatutory double patenting rejection is based on a judicially created doctrine grounded in public policy (a policy reflected in the statute) so as to prevent the unjustified or improper timewise extension of the "right to exclude" granted by a patent and to prevent possible harassment by multiple assignees. See *In re Goodman*, 11 F.3d 1046, 29 USPQ2d 2010 (Fed. Cir. 1993); *In re Longi*, 759 F.2d 887, 225 USPQ 645 (Fed. Cir. 1985); *In re Van Ornum*, 686 F.2d 937, 214 USPQ 761 (CCPA 1982); *In re Vogel*, 422 F.2d 438, 164 USPQ 619 (CCPA 1970); and, *In re Thorington*, 418 F.2d 528, 163 USPQ 644 (CCPA 1969).

A timely filed terminal disclaimer in compliance with 37 CFR 1.321(c) may be used to overcome an actual or provisional rejection based on a nonstatutory double patenting ground provided the conflicting application or patent is shown to be commonly owned with this application. See 37 CFR 1.130(b).

Effective January 1, 1994, a registered attorney or agent of record may sign a terminal disclaimer. A terminal disclaimer signed by the assignee must fully comply with 37 CFR 3.73(b).

3. Claims 1-63 are rejected under the judicially created doctrine of obviousness-type double patenting as being unpatentable over claims 1-39 of copending application, 09/552,984.

Although the conflicting claims are not identical, they are not patentably distinct from each other because the patent teaches all the limitations as disclosed such that the interpretation of usage of

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gateway of a network management system is similar to usage of an event gateway of a network management system. The claimed subject matter of claims 1-39 of copending application, 09/552,984 does not specifically mention about usage of SAP and proxy agents. However, JIDM Interaction Translation, Initial Submission to OMG's CORBA/TMN Internetworking RFP, Edition, 4.0, February 1998, pages, i-v, 1-1 to 7-132, 9-167 to 9-169 (Hereinafter CORBA/TMN) discloses the well-known concept of using SAP and proxy agents, e.g., figures 6-2, 7-8, section 6.1.2, page 6-97. With CORBA/TMN teachings it would be obvious to one of ordinary skill in the art to include the concept of using SAP and proxy agents with the claimed subject matter of claims 1-39 of copending application, 09/552,984.

This is a provisional obviousness-type double patenting rejection because the conflicting claims have not in fact been patented.

4. Claims 1-63 are rejected under the judicially created doctrine of obviousness-type double patenting as being unpatentable over claims 1-44 of U.S. Patent, 6839748. Although the conflicting claims are not identical, they are not patentably distinct from each other because the patent teaches all the limitations as disclosed such that the interpretation of usage of gateway of a network management system is similar to usage of an event gateway of a network management system. The claimed subject matter of claims 1-44 of U.S. Patent, 6839748 does not specifically mention about usage of SAP and proxy agents. However, CORBA/TMN discloses the well-known concept of using SAP and proxy agents, e.g., figures 6-2, 7-8, section 6.1.2, page 6-97. With CORBA/TMN teachings it would be obvious to one of ordinary skill in the art to include

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the concept of using SAP and proxy agents with the claimed subject matter of claims 1-44 of U.S. Patent, 6839748.

5. Claims 1-63 are rejected under the judicially created doctrine of obviousness-type double patenting as being unpatentable over claims 1-30 of U.S. Patent, 6813770. Although the conflicting claims are not identical, they are not patentably distinct from each other because the patent teaches all the limitations as disclosed such that the interpretation of usage of gateway of a network management system is similar to usage of an event gateway of a network management system. The claimed subject matter of claims 1-30 of U.S. Patent, 6813770 does not specifically mention about usage of SAP and proxy agents. However, CORBA/TMN discloses the well-known concept of using SAP and proxy agents, e.g., figures 6-2, 7-8, section 6.1.2, page 6-97. With CORBA/TMN teachings it would be obvious to one of ordinary skill in the art to include the concept of using SAP and proxy agents with the claimed subject matter of claims 1-30 of U.S. Patent, 6813770.

6. Claims 1-63 are rejected under the judicially created doctrine of obviousness-type double patenting as being unpatentable over claims 1-45 of copending application, 09/557,068. Although the conflicting claims are not identical, they are not patentably distinct from each other because the patent teaches all the limitations as disclosed such that the interpretation of usage of gateway of a network management system is similar to usage of an event gateway of a network management system. The claimed subject matter of claims 1-39 of copending application, 09/557,068 does not specifically mention about usage of SAP and proxy agents. However,

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CORBA/TMN discloses the well-known concept of using SAP and proxy agents, e.g., figures 6-2, 7-8, section 6.1.2, page 6-97. With CORBA/TMN teachings it would be obvious to one of ordinary skill in the art to include the concept of using SAP and proxy agents with the claimed subject matter of claims 1-39 of copending application, 09/557,068.

This is a provisional obviousness-type double patenting rejection because the conflicting claims have not in fact been patented.

7. Claims 1-63 are rejected under the judicially created doctrine of obviousness-type double patenting as being unpatentable over claims 1-45 of copending application, 09/552,985.

Although the conflicting claims are not identical, they are not patentably distinct from each other because the patent teaches all the limitations as disclosed such that the interpretation of usage of gateway of a network management system is similar to usage of an event gateway of a network management system. The claimed subject matter of claims 1-39 of copending application, 09/552,985 does not specifically mention about usage of SAP and proxy agents. However, CORBA/TMN discloses the well-known concept of using SAP and proxy agents, e.g., figures 6-2, 7-8, section 6.1.2, page 6-97. With CORBA/TMN teachings it would be obvious to one of ordinary skill in the art to include the concept of using SAP and proxy agents with the claimed subject matter of claims 1-39 of copending application, 09/552,985.

This is a provisional obviousness-type double patenting rejection because the conflicting claims have not in fact been patented.

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8. Claims 1-63 are rejected under the judicially created doctrine of obviousness-type double patenting as being unpatentable over claims 1-34 of U.S. Patent, 6915324. Although the conflicting claims are not identical, they are not patentably distinct from each other because the patent teaches all the limitations as disclosed such that the interpretation of usage of gateway of a network management system is similar to usage of an event gateway of a network management system. The claimed subject matter of claims 1-30 of U.S. Patent, 6915324 does not specifically mention about usage of SAP and proxy agents. However, CORBA/TMN discloses the well-known concept of using SAP and proxy agents, e.g., figures 6-2, 7-8, section 6.1.2, page 6-97. With CORBA/TMN teachings it would be obvious to one of ordinary skill in the art to include the concept of using SAP and proxy agents with the claimed subject matter of claims 1-30 of U.S. Patent, 6915324.

9. Claims 1-63 are rejected under the judicially created doctrine of obviousness-type double patenting as being unpatentable over claims 1-34 of U.S. Patent, 6950935. Although the conflicting claims are not identical, they are not patentably distinct from each other because the patent teaches all the limitations as disclosed such that the interpretation of usage of gateway of a network management system is similar to usage of an event gateway of a network management system. The claimed subject matter of claims 1-30 of U.S. Patent, 6950935 does not specifically mention about usage of SAP and proxy agents. However, CORBA/TMN discloses the well-known concept of using SAP and proxy agents, e.g., figures 6-2, 7-8, section 6.1.2, page 6-97. With CORBA/TMN teachings it would be obvious to one of ordinary skill in the art to include

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the concept of using SAP and proxy agents with the claimed subject matter of claims 1-30 of U.S. Patent, 6950935.

### *Specification*

10. The title of the invention is not descriptive. A new title is required that is clearly indicative of the invention to which the claims are directed.

The present title is not sufficient for proper classification of the claimed subject matter.

### *Drawings*

11. New corrected drawings are required in this application because Figures 1A through 15 do not show claimed, “wherein the gateway is configurable to provide object-level access control between the managers and the managed objects to receive the events from or to send the requests to the managed objects, wherein said object-level access control is provided at the individual object level so that one of the managers is granted access to one of the managed objects while being prevented from interfacing with a different one of the managed objects, delivering the event to the manager application or the request to the managed object if the manager access is approved, wherein the manager application uses a request Service Access Point (SAP) for requests and responses, wherein the gateway uses a singleton SAP object that shares all proxy agents through which the manager deals with a managed object and allows the insertion of the user name in the request message to enforce object-level access control”. Applicant is advised to employ the services of a competent patent draftsman outside the Office, as the U.S. Patent and Trademark Office no longer prepares new drawings. A proposed drawing correction or corrected



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drawings are required in reply to the Office action to avoid abandonment of the application. The amended replacement drawing sheet should include all of the figures appearing on the immediate prior version of the sheet, even if only one figure is being amended. The replacement sheet(s) should be labeled "Replacement Sheet" in the page header (as per 37 CFR 1.84(c)) so as not to obstruct any portion of the drawing figures. If the examiner does not accept the changes, the applicant will be notified and informed of any required corrective action in the next Office action. The objection to the drawings will not be held in abeyance.

### *Claim Objections*

12. Claim 1, 16-19, 35-38, 54-58, 61-63 is objected to because of the following informalities:

Claims 1, 58, 61, mention, "one or more managers", which should be "at least one of managers", as limitations, "the managers" in the claim, is dependent on the "managers".

Limitations, "one or more managers" is broadly interpreted as "one manager", which does not support further dependent limitations, "the managers" in the claim.

Claims 16-19, 35-38, 54-57, mention, "the requests are converted", which should be "requests are converted". Since, broad interpretation of claimed subject matter of the claims do not include limitations after "or", i.e., "or to deliver requests", "or requests", "or to send the requests", requests do not exist in the claims. Hence, "the requests are converted", should be "requests are converted".

Claims 61-63, mention, "SAP", "ProxyAgents", which should be "Service Access Point (SAP)", and "proxy agents", respectively.

Appropriate correction is required.

*Claim Rejections - 35 USC § 112*

The following is a quotation of the second paragraph of 35 U.S.C. 112:

The specification shall conclude with one or more claims particularly pointing out and distinctly claiming the subject matter, which the applicant regards as his invention.

13. Claims 1, 3, 4, 13, 16-23, 27, 28, 32, 35-39, 40-42, 46, 47, 51, 54-63, are rejected under 35 U.S.C. 112, second paragraph, as being indefinite for failing to particularly point out and distinctly claim the subject matter which applicant regards as the invention.

Claims 1, 3, 4, 16, 17, 22, 23, 35, 36, 41, 42, 54, 55, 58, 61, recite the limitations, “the requests”. There is insufficient antecedent basis for this limitation in the claim (Please see MPEP 706.03(d). Since, multiple “requests” (deliver requests, deliver the events or requests) exist in the claim, it is not clear which “requests” is referred by the limitations in the claim.

Claims 13, 32, 51, recite the limitations, “the managed object”. There is insufficient antecedent basis for this limitation in the claim (Please see MPEP 706.03(d). Since, multiple “managed objects” (plurality of managed objects) exist in the claim, it is not clear which “managed object” is referred by the limitations in the claim.

Claims 18, 19, 37, 38, 56, 57, recite the limitations, “the interface definition language”. There is insufficient antecedent basis for this limitation in the claim (Please see MPEP 706.03(d).

Claims 13, 32, 51, recite the limitations, “the target”. There is insufficient antecedent basis for this limitation in the claim (Please see MPEP 706.03(d).

Claims 20, 39, 59, 60, 62, 63, recite the limitations, “the individual object level”, “the manager access”. There is insufficient antecedent basis for this limitation in the claim (Please see MPEP 706.03(d).

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Claims 21, 27, 28, 32, 35- 37, 40, 46, 47, 51, 54-56, recite the limitations, “the managed object”. There is insufficient antecedent basis for this limitation in the claim (Please see MPEP 706.03(d). Since, multiple “managed objects” (plurality of managed objects) exist in the claim, it is not clear which “managed object” is referred by the limitations in the claim.

Claims 21-23, 40-42, recite the limitations, “the manager”. There is insufficient antecedent basis for this limitation in the claim (Please see MPEP 706.03(d).

Claims 61-63, recite the limitations, “the insertion of the user name”, “the request message to enforce object-level access control”. There is insufficient antecedent basis for this limitation in the claim (Please see MPEP 706.03(d).

### ***Claim Rejections - 35 USC § 103***

14. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

15. Claims 1, 5-7, 9, 16-17, 20, 24-26, 28, 35-36, 39, 43-45, 47, 54-55, 58-60 are rejected under 35 U.S.C. 103(a) as being unpatentable over Barker-Lucent et al. U.S. patent number 6,363,421, Lucent Technologies (Hereinafter Barker-Lucent) in view of Bowman-amuah, 2003/0058277 (Hereinafter Bowman) and JIDM Interaction Translation, Initial Submission to OMG’s CORBA/TMN Internetworking RFP, Edition, 4.0, February 1998, pages, i-v, 1-1 to 7-132, 9-167 to 9-169 (Hereinafter CORBA/TMN).

16. As per claims 1, 20, 39, 58-60, Barker-Lucent teaches the following:

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a network management method / a carrier medium/ system comprising (e.g., col. 1, lines 27-30),

a gateway (e.g., an element management server, col.1, lines 27-30) which is coupled to a plurality of managed objects (e.g. col. 1, lines 29-36) and which is configured to deliver events generated by the managed objects to manager (e.g., col. 1, lines 63-65) or to deliver requests generated by the managers to the managed object (e.g., col. 1, lines 63-65); and

a platform-independent interface to the gateway (e.g., col. 4, lines 37-55), wherein the gateway is configurable to communicate with the managers through the platform-independent interface to deliver the events or requests (e.g., col. 1, lines 63-65),

wherein the gateway is configurable to provide object-level control (e.g., usage of a naming service, etc., col., 8, line 53 – col., 9, line 19, col., 7, lines 47 – 63), between the managers (e.g., col., 8, line 53 – col., 9, line 19) and the managed objects (e.g., col., 8, line 53 – col., 9, line 19) to send the requests to the managed objects (e.g., col., 8, line 53 – col., 9, line 19),

sending an identity of a user of a manager application to a gateway (e.g., col., 8, line 53 – col., 9, line 19, col., 7, lines 47 – 63),

determine on a managed object level whether or not the manager application (e.g., col., 8, line 53 – col., 9, line 19, col., 7, lines 47 – 63) is allowed to receive an event generated by one of plurality of managed objects (e.g., col., 8, line 53 – col., 9, line 19, col., 7, lines 47 – 63) or to send a request to the one of the plurality of managed objects (e.g., col., 8, line 53 – col., 9, line 19, col., 7, lines 47 – 63) as a function of the identity of the user of the manager application (e.g., col., 8, line 53 – col., 9, line 19, col., 7, lines 47 – 63), whereby access for the manager

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application to send the request is approved or denied for said managed object (e.g., col., 8, line 53 – col., 9, line 19, col., 7, lines 47 – 63).

delivering the event to the manager application or the request to the managed object if the manager access is approved (e.g., col., 8, line 53 – col., 9, line 19, col., 7, lines 47 – 63).

However, Barker-Lucent does not specifically mention about individual object level.

Bowman discloses the well-known concept of usage at individual object level (e.g., paragraph 4219, 4499, 3711, 3499).

It would have been obvious to one of ordinary skill in the art at the time the invention was made to combine the teachings of Barker-Lucent with the teachings of Bowman in order to facilitate usage at individual object level because the concept of accessing individual object level would enhance supporting event / request by the object.

Barker-Lucent and Bowman do not specifically mention about access control so that one of the managers is granted access (e.g., usage of service access point, figure 7-8, page 7-119) to one of the managed objects while being prevented from interfacing with a different one of the managed objects (e.g., figure 6-9, section 6.2.4, page 6-105, figure 6-6, page 6-101, figure 7-5, section 7.1.5., page 7-115).

However, CORBA/TMN discloses well-known concept of access control (e.g., page 4 – 62) so that one of the managers is granted access (e.g., usage of service access point, figure 7-8, page 7-119) to one of the managed objects while being prevented from interfacing with a different one of the managed objects (e.g., figure 6-9, section 6.2.4, page 6-105, figure 6-6, page 6-101, figure 7-5, section 7.1.5., page 7-115), usage of request Service Access Point (SAP) for requests and responses (e.g., usage of service access point, figure 7-8, page 7-119), usage of a

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singleton SAP object (e.g., usage of service access point, figure 7-8, page 7-119), that shares all ProxyAgents (e.g., figure 7-2, section 7.1.2, page 7-111) through which a manager deals with a managed object (e.g., figure 7-2, section 7.1.2, page 7-111) to enforce object-level access control (e.g., page 4 – 62).

It would have been obvious to one of ordinary skill in the art at the time the invention was made to combine the teachings of Barker-Lucent and Bowman with the teachings of CORBA/TMN in order to facilitate access control so that one of the managers is granted access to one of the managed objects while being prevented from interfacing with a different one of the managed objects because the concept of accessing a single object would enhance supporting event / request for the particular object. The prevention of not accessing the other object when accessing the object would enhance supporting event / request specific to the object and not in common with the other object.

17. As per claims 5, 24 and 43, Barker-Lucent, Bowman and CORBA/TMN disclose the claimed limitations as rejected above. Barker-Lucent also teaches the following:

the events or requests are delivered by the gateway through the platform-independent interface according to Internet Inter-Object Protocol (IIOP) (e.g., use of IIOP protocol, col. 9, lines 15-19).

18. As per claims 6-7, 25-26 and 44-45, Barker-Lucent, Bowman and CORBA/TMN disclose the claimed limitations as rejected above. Barker-Lucent also teaches the following:

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the platform-independent interface to the gateway is expressed in an interface definition language (e.g., use of interface description language (IDL), col. 39, lines 1-15, figure 15), and wherein the interface definition language comprises a language for defining interfaces to the managed objects across a plurality of platforms and across a plurality of programming languages (e.g., IDL is used to describe any resource or service a server component wants to expose to its clients without regard to its implementation language or operating system, col. 39, lines 1-15, figure 15),

the interface definition language comprises OMG IDL (e.g., use of object management group (OMG) IDL, col. 7, lines 1-30).

19. As per claims 9, 28 and 47, Barker-Lucent, Bowman and CORBA/TMN disclose the claimed limitations as rejected above. Barker-Lucent also teaches the following:

the managed objects comprise an object corresponding to a telecommunications device (e.g., col., 2, line 49 – col., 3, line 40).

20. As per claims 16-17, 35-36 and 54-55, Barker-Lucent, Bowman and CORBA/TMN disclose the claimed limitations as rejected above. Barker-Lucent also teaches the following:

the requests comprise a query for information concerning the managed object (e.g., col. 40, lines 27-38),

the requests comprise a command to set parameter of the managed object (e.g., col. 40, lines 27-38).

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21. Claims 8, 27, 46 are rejected under 35 U.S.C. 103(a) as being unpatentable over Barker-Lucent, Bowman and CORBA/TMN in view of "Official Notice".

22. As per claims 8, 27 and 46, Barker-Lucent, Bowman and CORBA/TMN disclose the claimed limitations as rejected above. However, Barker-Lucent, Bowman and CORBA/TMN do not specifically mention about object corresponding to a telephone network. "Official Notice" is taken that both the concept and advantages of providing object corresponding to a telephone network is well known and expected in the art.

It would have been obvious to one of ordinary skill in the art at the time the invention was made to include object corresponding to a telephone network with the teachings of Barker-Lucent, Bowman and CORBA/TMN in order to facilitate usage of object corresponding to a telephone network because the object corresponding to a telephone network would support information related to the telephone network. The gateway would help utilize the information.

23. Claims 2-4, 10, 21-23, 29, 40-42, 48 and 61-63 are rejected under 35 U.S.C. 103(a) as being unpatentable over Barker-Lucent, Bowman and CORBA/TMN in view of Olden, 6,460,141, RSA Security Inc., (Hereinafter Olden-RSA-Security).

24. As per claims 2-4, 21-23 and 40-42, Barker-Lucent, Bowman and CORBA/TMN disclose the claimed limitations as rejected above. Barker-Lucent also teaches the gateway is configurable to determine whether each of the managers can communicate with each of the managed objects, receive the events from the managed objects / managed object generating the event (e.g., col. 8, lines 31-54).



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However, Barker-Lucent, Bowman and CORBA/TMN do not specifically mention about authorization as a function of the identity of the managed object / user IDs entered by users of the managers.

Olden-RSA-Security discloses the well-known concept of authorization (e.g., abstract) as a function of the identity of the managed object (e.g., col., 9, lines 2 – 34) / user IDs entered by users of the managers (e.g., col., 25, lines 5 – col., 26, line 28, col., 7, lines 31 - 57).

It would have been obvious to one of ordinary skill in the art at the time the invention was made to combine the teachings of Barker-Lucent, Bowman and CORBA/TMN with the teachings of Olden-RSA-Security in order to facilitate authorization as a function of the identity of the managed object / user IDs entered by users of the managers because the authorization would enhance verifying that the managed object is been accessed by the valid manager and not the unauthorized manager. The User IDs of the users and the identity of the managed object would help support providing authorization functionality.

25. As per claims 10, 29 and 48, Barker-Lucent, Bowman and CORBA/TMN disclose the claimed limitations as rejected above. Barker-Lucent also teaches the gateway is configurable to provide audit trails (e.g., col., 17, line 27 – col., 18, line 67).

However, Barker-Lucent, Bowman and CORBA/TMN do not specifically mention about security information.

Olden-RSA-Security discloses the well-known concept of usage of security information (e.g., abstract, e.g., col., 29, lines 1 - 58).

It would have been obvious to one of ordinary skill in the art at the time the invention was made to combine the teachings of Barker-Lucent, Bowman and CORBA/TMN with the teachings of Olden-RSA-Security in order to facilitate usage of security because the security information would enhance keeping track of the activities that occur with the information related to handled objects. The audit information would be available in future.

26. As per claims 61-63, Barker-Lucent, Bowman and CORBA/TMN disclose the claimed limitations as rejected above. Barker-Lucent also teaches insertion of information in the request message (e.g., col., 8, line 53 – col., 9, line 19, col., 7, lines 47 – 63).

However, Barker-Lucent, Bowman and CORBA/TMN do not specifically mention about user name.

Olden-RSA-Security discloses the well-known concept of usage of user name in the message (e.g., col., 9, lines 2 – 34, col., 25, lines 5 – col., 26, line 28, col., 7, lines 31 - 57).

It would have been obvious to one of ordinary skill in the art at the time the invention was made to combine the teachings of Barker-Lucent, Bowman and CORBA/TMN with the teachings of Olden-RSA-Security in order to facilitate usage of user name in the message because the user name would enhance authorization mechanism. The user name of the users would help support providing authorization functionality.

27. Claims 11-15, 30-34 and 49-53, are rejected under 35 U.S.C. 103(a) as being unpatentable over Barker-Lucent, Bowman, CORBA/TMN and Olden-RSA-Security in view of “Official Notice”.

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28. As per claims 11-15, 30-34 and 49-53, Barker-Lucent, Bowman, CORBA/TMN and Olden-RSA-Security disclose the claimed limitations as rejected above.

Barker-Lucent also teaches the gateway providing logging (e.g., col., 11, lines 18 – 60, col., 17, line 33 – col., 18, line 9, col., 41, line 63 – col., 42, line 53), to log user information that sends each request (e.g., col., 11, lines 18 – 60, col., 17, line 33 – col., 18, line 9, col., 41, line 63 – col., 42, line 53), to log information of the managed object that is the source of each event (e.g., col., 11, lines 18 – 60, col., 17, line 33 – col., 18, line 9, col., 41, line 63 – col., 42, line 53), to log a time at which each event is generated / delivered (e.g., col., 11, lines 18 – 60, col. 17, line 33 – col., 18, line 9, col., 41, line 63 – col., 42, line 53, col., 31, lines 15 – col., 43, col., 39, line 24 – col., 40, line 29, col., 23, line 55 – col., 24, line 10).

However, Barker-Lucent, Bowman, CORBA/TMN and Olden-RSA-Security do not specifically mention about providing access to a logging service, to log an ID of a user, to log an ID of the object.

“Official Notice” is taken that both the concept and advantages of providing access to a logging service, to log an ID of a user, to log an ID of the object is well known and expected in the art.

It would have been obvious to one of ordinary skill in the art at the time the invention was made to include providing access to a logging service, to log an ID of a user, to log an ID of the object with the teachings of Barker-Lucent, Bowman, CORBA/TMN and Olden-RSA-Security in order to facilitate usage of access to a logging service, to log an ID of a user, to log an ID of the object because the accessing would enhance utilizing the logging service. The ID of

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the user and the object would help enhance logging information regarding the user and the object.

29. Claims 18, 37 and 56 are rejected under 35 U.S.C. 103(a) as being unpatentable over Barker-Lucent, Bowman and CORBA/TMN in view of Hearne et al., 2001/0052113 (Hereinafter Hearne) in view of Solstice Enterprise Manager 4.1 Managing your network, Chapter 1, 08/16/1998, pages 1-27, SUN (Hereinafter SUN).

30. As per claims 18, 37 and 56, Barker-Lucent, Bowman and CORBA/TMN disclose the claimed limitations as rejected above.

Barker-Lucent also teaches the requests are converted from one format to another format prior to delivery to the managed objects (e.g., usage of CORBA, IDL/IIOP, etc., col., 21, line 46 – col., 22, line 59).

However, Barker-Lucent, Bowman, CORBA/TMN and Olden-RSA-Security do not specifically mention about conversion from the interface definition language to a platform-specific format.

Hearne discloses the well-known concept of conversion from the interface definition language to a platform-specific format (e.g., abstract, paragraph 58 – 62).

It would have been obvious to one of ordinary skill in the art at the time the invention was made to combine the teachings of Barker-Lucent, Bowman, CORBA/TMN and Olden-RSA-Security with the teachings of Hearne in order to facilitate conversion from the interface definition language to a platform-specific format because the conversion would enhance

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supporting information in a platform-specific format. The converted information from the interface definition language would support communication between two entities.

However, Barker-Lucent, Bowman, CORBA/TMN, Olden-RSA-Security and Hearne do not specifically mention about Portable Management Interface (PMI).

SUN discloses the well-known usage of Portable Management Interface (PMI) (e.g., figure 1-1, page 5).

It would have been obvious to one of ordinary skill in the art at the time the invention was made to combine the teachings of Barker-Lucent, Bowman, CORBA/TMN, Olden-RSA-Security and Hearne with the teachings of SUN in order to facilitate usage of well-known usage of Portable Management Interface (PMI) because the platform-specific format being PMI would enhance the managed object to utilize the format structure of PMI for communication with another entity. The object would benefit implementation of information using PMI format for sending event and/or receiving request.

31. Claims 19, 38 and 57, are rejected under 35 U.S.C. 103(a) as being unpatentable over Barker-Lucent, Bowman and CORBA/TMN in view of Hearne et al., 2001/0052113 (Hereinafter Hearne).

32. As per claims 19, 38 and 57, Barker-Lucent, Bowman and CORBA/TMN disclose the claimed limitations as rejected above.

Barker-Lucent also teaches the requests are converted from one format to another format prior to delivery to the managed objects (e.g., usage of CORBA, IDL/IIOP, etc., col., 21, line 46 – col., 22, line 59).

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However, Barker-Lucent, Bowman, CORBA/TMN and Olden-RSA-Security do not specifically mention about conversion from the interface definition language to a platform-specific format.

Hearne discloses the well-known concept of conversion from the interface definition language to a platform-specific format (e.g., abstract, paragraph 58 – 62).

It would have been obvious to one of ordinary skill in the art at the time the invention was made to combine the teachings of Barker-Lucent, Bowman, CORBA/TMN and Olden-RSA-Security with the teachings of Hearne in order to facilitate conversion from the interface definition language to a platform-specific format because the conversion would enhance supporting information in a platform-specific format. The converted information from the interface definition language would support communication between two entities.

### ***Claim Rejections - 35 USC § 102***

33. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

(e) the invention was described in (1) an application for patent, published under section 122(b), by another filed in the United States before the invention by the applicant for patent or (2) a patent granted on an application for patent by another filed in the United States before the invention by the applicant for patent, except that an international application filed under the treaty defined in section 351(a) shall have the effects for purposes of this subsection of an application filed in the United States only if the international application designated the United States and was published under Article 21(2) of such treaty in the English language.

34. Claims 58-63, are rejected under 35 U.S.C. 102(e) as being anticipated by Vuong et al. U.S. patent number 6,430,578 (Hereinafter Vuong).

35. As per claims 58-60, Vuong teaches a network management system / method / a computer readable medium (e.g., col., 5, lines 57 – col., 6, line 23), comprising: a gateway which

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is coupled to a plurality of managed objects and which is configured to deliver events generated by the managed objects to one or more managers or to deliver requests generated by the managers to one or more of the managed objects (e.g., col., 5, lines 57 – col., 6, line 23), and

a platform-independent interface to the gateway (e.g., col., 2, lines 1 – 26), wherein the gateway is configurable to communicate with the managers through the platform-independent interface to deliver the events or requests (e.g., col., 4, lines 40 – 67);

the gateway is configurable to provide object-level access control between the managers and the managed objects to receive the events from or to send the requests to the managed objects (e.g., col., 2, line 26 – 52, col., 6, lines 42 - 59), wherein said object-level access control is provided at the individual object level so that one of the managers is granted access to one of the managed objects while being prevented from interfacing with a different one of the managed objects (e.g., col., 2, line 26 – 52, col., 6, lines 42 - 59), and wherein the managers use a request Service Access Point (SAP) for requests and responses (e.g., col., 2, lines 16 – 26),

sending an identity of a user of a manager application to a gateway (e.g., col., 5, lines 4 – 27), determining on a managed object level whether or not the manager application is allowed to receive an event generated by one of a plurality of managed objects or to send a request to the one of the plurality of managed objects as a function of the identity of the user of the manager application (e.g., col., 7, lines 9 – 32), whereby access for the manager application to receive the event or send the request is approved or denied for said one of the plurality of managed objects at the individual object level so that the manager application is granted access to one of the plurality of managed objects while being prevented from interfacing with a different one of the plurality of managed objects (e.g., col., 8, lines 21 – 42); and delivering the event to the manager

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application or the request to the managed object if the manager access is approved (e.g., col., 7, lines 2 – 26).

36. As per claims 61-63, Vuong teaches a network management system / method / a computer readable medium (e.g., col., 5, lines 57 – col., 6, line 23), comprising: a gateway which is coupled to a plurality of managed objects and which is configured to deliver events generated by the managed objects to one or more managers or to deliver requests generated by the managers to one or more of the managed objects (e.g., col., 5, lines 57 – col., 6, line 23), and a platform-independent interface to the gateway (e.g., col., 2, lines 1 – 26), wherein the gateway is configurable to communicate with the managers through the platform-independent interface to deliver the events or requests (e.g., col., 4, lines 40 – 67);

the gateway is configurable to provide object-level access control between the managers and the managed objects to receive the events from or to send the requests to the managed objects (e.g., col., 2, line 26 – 52, col., 6, lines 42 - 59), wherein said object-level access control is provided at the individual object level so that one of the managers is granted access to one of the managed objects while being prevented from interfacing with a different one of the managed objects (e.g., col., 2, line 26 – 52, col., 6, lines 42 - 59), wherein the gateway uses a singleton SAP object that shares all ProxyAgents through which a manager deals with a managed object (e.g., col., 2, lines 16 – 26), and allows the insertion of the user name in the request message to enforce object-level access control (e.g., col., 2, lines 16 – 26),

sending an identity of a user of a manager application to a gateway (e.g., col., 5, lines 4 – 27), determining on a managed object level whether or not the manager application is allowed to



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receive an event generated by one of a plurality of managed objects or to send a request to the one of the plurality of managed objects as a function of the identity of the user of the manager application (e.g., col., 7, lines 9 – 32), whereby access for the manager application to receive the event or send the request is approved or denied for said one of the plurality of managed objects at the individual object level so that the manager application is granted access to one of the plurality of managed objects while being prevented from interfacing with a different one of the plurality of managed objects (e.g., col., 8, lines 21 – 42); and delivering the event to the manager application or the request to the managed object if the manager access is approved (e.g., col., 7, lines 2 – 26).

37. Claims 58-63, are rejected under 35 U.S.C. 102(e) as being anticipated by Spencer U.S. patent number 6,253,243 (Hereinafter Spencer).

38. As per claims 58-60, Spencer teaches a network management system / method / a computer readable medium (e.g., col., 4, lines 23 - 63), comprising: a gateway which is coupled to a plurality of managed objects and which is configured to deliver events generated by the managed objects to one or more managers or to deliver requests generated by the managers to one or more of the managed objects (e.g., col., 4, line 53 – col., 5, line 20), and

a platform-independent interface to the gateway (e.g., col., 5, lines 46 - 65), wherein the gateway is configurable to communicate with the managers through the platform- independent interface to deliver the events or requests (e.g., col., 6, lines 13 - 29);

the gateway is configurable to provide object-level access control between the managers and the managed objects to receive the events from or to send the requests to the managed

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objects (e.g., col., 5, lines 46 - 65), wherein said object-level access control is provided at the individual object level so that one of the managers is granted access to one of the managed objects while being prevented from interfacing with a different one of the managed objects (e.g., col., 7, lines 35 - 57), and wherein the managers use a request Service Access Point (SAP) for requests and responses (e.g., col., 6, lines 2 - 28),

sending an identity of a user of a manager application to a gateway (e.g., col., 7, lines 35 - 67), determining on a managed object level whether or not the manager application is allowed to receive an event generated by one of a plurality of managed objects or to send a request to the one of the plurality of managed objects as a function of the identity of the user of the manager application (e.g., col., 5, line 53 – col., 6, line 13), whereby access for the manager application to receive the event or send the request is approved or denied for said one of the plurality of managed objects at the individual object level so that the manager application is granted access to one of the plurality of managed objects while being prevented from interfacing with a different one of the plurality of managed objects (e.g., col., 7, lines 35 - 67); and delivering the event to the manager application or the request to the managed object if the manager access is approved (e.g., col., 6, lines 23 - 49).

39. As per claims 61-63, Spencer teaches a network management system / method / a computer readable medium (e.g., col., 4, lines 23 - 63), comprising: a gateway which is coupled to a plurality of managed objects and which is configured to deliver events generated by the managed objects to one or more managers or to deliver requests generated by the managers to one or more of the managed objects (e.g., col., 4, line 53 – col., 5, line 20), and

a platform-independent interface to the gateway (e.g., col., 5, lines 46 - 65), wherein the gateway is configurable to communicate with the managers through the platform-independent interface to deliver the events or requests (e.g., col., 6, lines 13 - 29);

the gateway is configurable to provide object-level access control between the managers and the managed objects to receive the events from or to send the requests to the managed objects (e.g., col., 5, lines 46 - 65), wherein said object-level access control is provided at the individual object level so that one of the managers is granted access to one of the managed objects while being prevented from interfacing with a different one of the managed objects (e.g., col., 7, lines 35 - 57), and wherein the managers use a request Service Access Point (SAP) for requests and responses (e.g., col., 6, lines 2 - 28), wherein the gateway uses a singleton SAP object that shares all ProxyAgents through which a manager deals with a managed object (e.g., col., 5, lines 2 - 34), and allows the insertion of the user name in the request message to enforce object-level access control (e.g., col., 5, lines 47 - 67),

sending an identity of a user of a manager application to a gateway (e.g., col., 7, lines 35 - 67), determining on a managed object level whether or not the manager application is allowed to receive an event generated by one of a plurality of managed objects or to send a request to the one of the plurality of managed objects as a function of the identity of the user of the manager application (e.g., col., 5, line 53 - col., 6, line 13), whereby access for the manager application to receive the event or send the request is approved or denied for said one of the plurality of managed objects at the individual object level so that the manager application is granted access to one of the plurality of managed objects while being prevented from interfacing with a different one of the plurality of managed objects (e.g., col., 7, lines 35 - 67); and delivering the

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event to the manager application or the request to the managed object if the manager access is approved (e.g., col., 6, lines 23 - 49).

### *Conclusion*

40. The prior art made of record (forms PTO-892 and applicant provided IDS cited arts) and not relied upon is considered pertinent to applicant's disclosure.

Apte, US 2004/0111730 A1, June 10, 2004, also discloses use of CORBA Server and the object level access control.

Feuerman, 6,529,947, "Managing transiently connected network clients", discloses use of name service to provide object level access control over the network among objects.

Applicant submitted, IDS, paper number 9, N. Lynch et. al., "Web Enabled TMN Manager", clearly discloses use of CORBA with the existing TMN devices for object level access control.

Taylor et al, 6,256,676, "Agent-adaptor architecture for use in enterprise application integration systems", discloses use of object level access control for variety of objects.

Bowman-Amuah, 6,640,249, "Presentation services patterns in a netcentric environment", discloses use of CORBA server, naming service, security audit trails, etc.

Houlding, 6,75,771, "System and method for delivering web services using common object request broker architecture", discloses use of CORBA naming service for object level access control among objects.

Examiner has cited particular columns and line numbers and/or paragraphs and/or sections and/or page numbers in the reference(s) as applied to the claims above for the

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convenience of the applicant. Although the specified citations are representative of the teachings of the art and are applied to the specific limitations within the individual claim, other passages and figures may apply as well. It is respectfully requested from the applicant in preparing responses, to fully consider the references in entirety, as potentially teaching, all or part of the claimed invention, as well as the context of the passage, as taught by the prior art or disclosed by the Examiner.

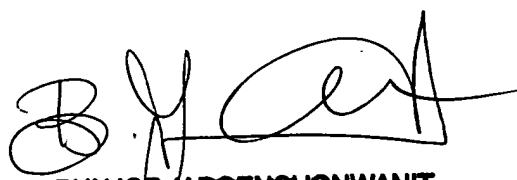
Any inquiry concerning this communication or earlier communications from the examiner should be directed to Haresh Patel whose telephone number is (571) 272-3973. The examiner can normally be reached on Monday, Tuesday, Thursday and Friday from 10:00 am to 8:00 pm.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, John Follansbee can be reached on (571) 272-3964. The fax phone number for the organization where this application or proceeding is assigned is (571) 273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

Haresh Patel

October 15, 2005



**BUNJOB JAROENCHONWANIT**  
**PRIMARY EXAMINER**